


Electronic Filing System (EFS) Data  
Electronic Patent Application Submission  
USPTO Use Only

EFS ID: 15145  
Application ID: 10063736  
Title of Invention: SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
First Named Inventor: Dan Eaton  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2002-05-08  
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 10466/456  
Digital Certificate Holder: cn=Paul Rauch, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: Jj98PSREdH/xdSJndrgEsA==  
  
Total Fees Authorized: \$740.0  
Payment Category: CC - Credit Card  
Credit Card Number: \*\*\*\*\*1002  
Expiration Date: 05022004  
Card Holder Name: M HOFFMAN 10466/456  
RAM User ID: EFSPROD  
RAM Accounting Date: 2002-05-08  
RAM Sequence Number: 449190  
RAM Payment Status: RAM success  
Postal Code: 60611

# TRANSMITTAL FORM

10474 U.S. PTO  
10/063736  
05/08/02

Electronic Version 1.0.3

Stylesheet Version: 1.0

Submission Type: Utility Patent  
Filing

Attorney Docket  
Number:

10466/456

## SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

First Named Inventor: Dan L. Eaton

### SUBMITTED BY

Name:

Dr. Paul E. Rauch

Registration Number:

38591

Electronic Signature Mark: Paul E.  
Rauch

Date Signed: 20020508

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

### Attached Files:

sequence-listing

Sequence\_Listing\_as\_filed.txt

declaration

Declaration01.tif

10466456apds.xml  
10466456fee.xml  
10466456.xml  
Declaration01.tif  
Declaration02.tif  
Declaration03.tif  
Declaration04.tif  
Declaration05.tif  
Declaration06.tif  
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declaration	Declaration06.tif
declaration	Declaration07.tif
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declaration	Declaration10.tif
declaration	Declaration11.tif
declaration	Declaration12.tif
bibd-transmittal	10466456apds.xml
fee-transmittal	10466456fee.xml
specification	10466456.xml

Attached Image File(s):

Declaration01.tif  
Declaration02.tif  
Declaration03.tif  
Declaration04.tif  
Declaration05.tif  
Declaration06.tif  
Declaration07.tif  
Declaration08.tif  
Declaration09.tif  
Declaration10.tif  
Declaration11.tif  
Declaration12.tif

## Comments:

I hereby state that the Sequence Listing contained in the specification and drawings submitted herewith and the Sequence Listing attached hereto in .txt format is identical. I further state that this submission includes no new matter. The prior application is assigned of record to Genentech, Inc. REEL/FRA  
012377/0266; Recorded:12/06/2001

[illegible]

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are **as stated** below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if multiple names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S**

the specification of which (check one) ☒ is attached hereto or ☐ was filed on  as Application Serial No.  and was applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including any amendments, and I agree to be bound by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with the Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate filed before that of the application on which priority is claimed:

Prior Foreign Application(s):

Prior  
Yes

Number	Country	Day/Month/Year Filed
--------	---------	----------------------

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

Application Ser. No.	Filing Date
----------------------	-------------

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application or PCT international filing date of this application:

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with the Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

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 Facsimile: 312-321-4299  
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I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the U.S. Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent attorney or agent to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

Full name of sole or first inventor

Dan L. Eaton

*Dan Eaton*

10/2/01

Inventor's signature

Date

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Ellen Filvaroff

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*Ellen Filvaroff*

Date

10/1/01

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Full name of fourth joint inventor, if any

Audrey Goddard

Inventor's signature



Date

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Citizenship

CA

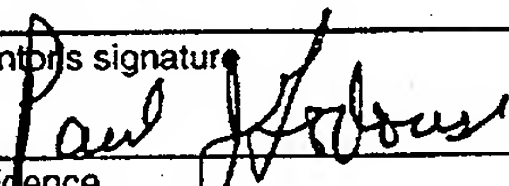
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Paul J. Godowski

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10/1/01

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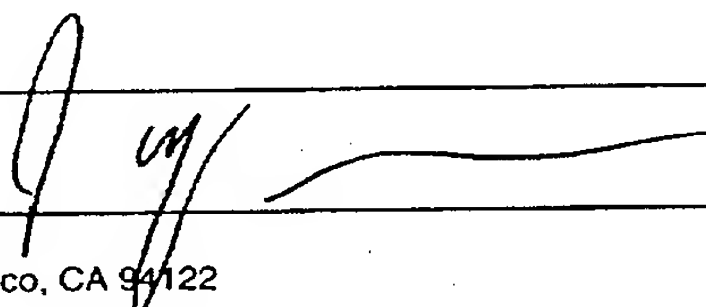
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J. Christopher Grimaldi

Inventor's signature



Date

10/2/01

Residence

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Citizenship

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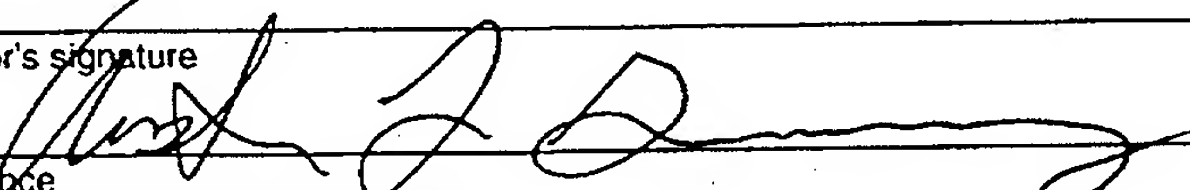
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10/1/01

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Colin K. Watanabe

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Colin K. Watanabe

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10.2.2001

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William I. Wood

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Citizenship

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Post Office Address

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South San Francisco, CA 94080



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Prior Foreign Application(s):

Prior  
Yes

Number	Country	Day/Month/Year Filed
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**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

Application Ser. No.	Filing Date
----------------------	-------------

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application in which the subject matter of each of the claims of this application is disclosed. I acknowledge the duty to disclose material in the prior United States application defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the filing date of this application:

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
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----------------------	-------------	--------------------------------------

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PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

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Chicago, IL 60611-5599  
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Facsimile: 312-321-4299  
Email: prauch@brinkshofer.com

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Full name of sole or first inventor

Dan L. Eaton

Inventor's signature

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Full name of second joint inventor, if any

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Full name of third joint inventor, if any

Mary E. Gerritsen

Inventor's signature

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Citizenship

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Full name of fourth joint inventor, if any

Audrey Goddard

Inventor's signature

Date

Residence

110 Congo Street, San Francisco, CA 94131

Citizenship

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Post Office Address

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Paul J. Godowski

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J. Christopher Grimaldi

Inventor's signature

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Full name of eighth joint inventor, if any

Colin K. Watanabe

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Citizenship  
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Full name of ninth joint inventor, if any

William I. Wood

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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**APPENDIX A**

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications

1. 60/063435 Filed 10/29/97
2. 60/064215 Filed 10/29/97
3. 60/082797 Filed 4/22/98
4. 60/083495 Filed 4/29/98
5. 60/085579 Filed 5/15/98
6. 60/087759 Filed 6/2/98
7. 60/088021 Filed 6/4/98
8. 60/088029 Filed 6/4/98
9. 60/088030 Filed 6/4/98
10. 60/088734 Filed 6/10/98
11. 60/088740 Filed 6/10/98
12. 60/088811 Filed 6/10/98
13. 60/088824 Filed 6/10/98
14. 60/088825 Filed 6/10/98
15. 60/088863 Filed 6/11/98
16. 60/089105 Filed 6/12/98
17. 60/089514 Filed 6/16/98
18. 60/089653 Filed 6/17/98
19. 60/089952 Filed 6/19/98
20. 60/090246 Filed 6/22/98
21. 60/090444 Filed 6/24/98
22. 60/090688 Filed 6/25/98
23. 60/090696 Filed 6/25/98
24. 60/090862 Filed 6/26/98
25. 60/091628 Filed 7/2/98
26. 60/096012 Filed 8/10/98
27. 60/096757 Filed 8/17/98
28. 60/096949 Filed 8/18/98
29. 60/096959 Filed 8/18/98
30. 60/097954 Filed 8/26/98
31. 60/097971 Filed 8/26/98
32. 60/097979 Filed 8/26/98
33. 60/098749 Filed 9/1/98
34. 60/099741 Filed 9/10/98
35. 60/099763 Filed 9/10/98
36. 60/099792 Filed 9/10/98
37. 60/099812 Filed 9/10/98
38. 60/099815 Filed 9/10/98
39. 60/100627 Filed 9/16/98
40. 60/100662 Filed 9/16/98
41. 60/100683 Filed 9/17/98
42. 60/100684 Filed 9/17/98
43. 60/100930 Filed 9/17/98
44. 60/101279 Filed 9/22/98

46.	60/101738	Filed 9/24/98
47.	60/101743	Filed 9/24/98
48.	60/101916	Filed 9/24/98
49.	60/102570	Filed 9/30/98
50.	60/103449	Filed 10/6/98
51.	60/103678	Filed 10/8/98
52.	60/103679	Filed 10/8/98
53.	60/103711	Filed 10/8/98
54.	60/105000	Filed 10/20/98
55.	60/105002	Filed 10/20/98
56.	60/105881	Filed 10/27/98
57.	60/106030	Filed 10/28/98
58.	60/106464	Filed 10/30/98
59.	60/106856	Filed 11/3/98
60.	60/108807	Filed 11/17/98
61.	60/112419	Filed 12/15/98
62.	60/112422	Filed 12/15/98
63.	60/112853	Filed 12/16/98
64.	60/113011	Filed 12/16/98
65.	60/112854	Filed 12/16/98
66.	60/113300	Filed 12/22/98
67.	60/113408	Filed 12/22/98
68.	60/113430	Filed 12/23/98
69.	60/113621	Filed 12/23/98
70.	60/114223	Filed 12/30/98
71.	60/115614	Filed 1/12/99
72.	60/116527	Filed 1/20/99
73.	60/116843	Filed 1/22/99
74.	60/119285	Filed 2/9/99
75.	60/119287	Filed 2/9/99
76.	60/119525	Filed 2/10/99
77.	60/119549	Filed 2/10/99
78.	60/120014	Filed 2/11/99
79.	60/129122	Filed 4/13/99
80.	60/129674	Filed 4/16/99
81.	60/131291	Filed 4/27/99
82.	60/138387	Filed 6/9/99
83.	60/144791	Filed 7/20/99
84.	60/169495	Filed 12/7/99
85.	60/175481	Filed 1/11/00
86.	60/191007	Filed 3/21/00
87.	60/199397	Filed 4/25/00

## APPENDIX B

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed below.

### US APPLICATIONS

- |     |            |                |     |
|-----|------------|----------------|-----|
| 1.  | 09/380139  | Filed 8/25/98  |     |
| 2.  | 09/311832  | Filed 5/14/99  |     |
| 3.  | 09/380137  | Filed 8/25/99  | ABD |
| 4.  | 09/380138  | Filed 8/25/99  | ABD |
| 5.  | 09/380142  | Filed 8/25/99  | ABD |
| 6.  | 09/397342  | Filed 9/15/99  |     |
| 7.  | 09/403297  | Filed 10/18/99 | ABD |
| 8.  | 09/423844  | Filed 11/12/99 | ABD |
| 9.  | 09/644848  | Filed 8/22/00  |     |
| 10. | 09/665350  | Filed 9/18/00  |     |
| 11. | 09/664610  | Filed 9/18/00  | ABD |
| 12. | 09/709238  | Filed 11/8/00  |     |
| 13. | 09/747259  | Filed 12/20/00 |     |
| 14. | 09/816744  | Filed 3/22/01  |     |
| 15. | 09/854208  | Filed 5/10/01  |     |
| 16. | 09/854280  | Filed 5/10/01  |     |
| 17. | 09/870574  | Filed 5/30/01  |     |
| 18. | 09/874503  | Filed 6/5/01   |     |
| 19. | 09/869599  | Filed 6/29/01  |     |
| 20. | 09/908,827 | Filed 7/18/01  |     |

### PCT APPLICATIONS

- |     |                |                |
|-----|----------------|----------------|
| 1.  | PCT/US98/19330 | Filed 9/16/98  |
| 2.  | PCT/US99/05028 | Filed 3/8/99   |
| 3.  | PCT/US99/10733 | Filed 5/14/99  |
| 4.  | PCT/US99/12252 | Filed 6/2/99   |
| 5.  | PCT/US99/20111 | Filed 9/1/99   |
| 6.  | PCT/US99/21090 | Filed 9/15/99  |
| 7.  | PCT/US99/21194 | Filed 9/15/99  |
| 8.  | PCT/US99/30720 | Filed 12/22/99 |
| 9.  | PCT/US00/04341 | Filed 2/18/00  |
| 10. | PCT/US00/04342 | Filed 2/18/00  |
| 11. | PCT/US00/04414 | Filed 2/22/00  |
| 12. | PCT/US00/05601 | Filed 3/1/00   |
| 13. | PCT/US00/08439 | Filed 3/30/00  |
| 14. | PCT/US00/14042 | Filed 5/22/00  |
| 15. | PCT/US00/15264 | Filed 6/2/00   |
| 16. | PCT/US00/23522 | Filed 8/23/00  |
| 17. | PCT/US00/23328 | Filed 8/24/00  |
| 18. | PCT/US00/30873 | Filed 11/10/00 |
| 19. | PCT/US00/32378 | Filed 12/1/00  |
| 20. | PCT/US00/34956 | Filed 12/20/00 |

- |     |                |               |
|-----|----------------|---------------|
| 22. | PCT/US01/06666 | Filed 3/1/01  |
| 23. | PCT/US01/17443 | Filed 5/30/01 |
| 24. | PCT/US01/17800 | Filed 6/1/01  |
| 25. | PCT/US01/19692 | Filed 6/20/01 |
| 26. | PCT/US01/21066 | Filed 6/29/01 |
| 27. | PCT/US01/21735 | Filed 7/9/01  |



# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 740**

## BANK (CREDIT) CARD INFORMATION:

Credit Card Number: 1002  
Expiration Date: 20040502  
Authorized Name: M HOFFMAN 10466/456  
Billing Address: 60611

## BASIC FILING FEE

Fee Description	Fee Code	Fee Paid
Utility Filing Fee	101	\$ 740

Subtotal For Basic Filing Fee: \$ 740

## EXTRA CLAIM FEES

	Fee Code	Fee	Extra Claims	Fee Paid
Total Claims: 20	103	\$ 18	0	\$ 0
Independent Claims: 3	102	\$ 84	0	\$ 0

Subtotal For Extra Claims Fees: \$ 0